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883933.0053 (UCON-147)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | |
|-----------------------|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Applicant: | Yang et al. | 37 C.F.R. § 1.8 Certificate of Mailing I hereby certify that this correspondence is today being deposited with the U.S. Postal Service in an envelope with appropriate postage affixed thereto and addressed to Commissioner for Patents and Trademarks, Washington, D.C. 20231. February 13, 2002  |
| Serial No.: | 09/755,204 | |
| Filing Date: | January 4, 2001 | |
| Group Art Unit | 1632 | |
| Examiner | unassigned | |
| Title of Application: | METHOD FOR CLONING ANIMALS WITH TARGETED GENETIC ALTERATIONS | |

February 13, 2002

Commissioner for Patents
Washington, D.C. 20231

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PRELIMINARY AMENDMENT FILED UNDER 37 C.F.R. § 1.115



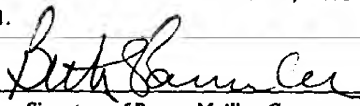
Dear Madam/Sir:

Prior to substantive examination of the instant application, please amend the application as indicated below. Check No. 129020 in the amount of \$756.00 is enclosed to cover fees for presentation of extra claims. In the event that additional fees are required, or if a refund of fees is appropriate, please charge or credit, where necessary, Deposit Account No. 11-0231.

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| AMENDMENT TRANSMITTAL LETTER (Small Entity) | | | Docket No. 1639 883933.0053 (UCON-147) \$ | | |
| Applicant(s): YANG et al. | | | | | |
| Serial No. 09/755,204 | Filing Date January 4, 2001 | Examiner Unassigned | Group Art Unit 45-02 1632 P.C. | | |
| Invention: METHOD FOR CLONING ANIMALS WITH TARGETED GENETIC ALTERATIONS | | | | | |
|  | | RECEIVED MAR 20 2002 TECH CENTER 1600/2900 | | | |
| <u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u> | | | | | |
| Transmitted herewith is an amendment in the above-identified application. | | | | | |
| <input checked="" type="checkbox"/> Small Entity status of this application has been established under 37 CFR 1.27 by a verified statement previously submitted. <input type="checkbox"/> A verified statement to establish Small Entity status under 37 FR 1.27 is enclosed. | | | | | |
| The fee has been calculated and is transmitted as shown below. | | | | | |
| CLAIMS AS AMENDED | | | | | |
| | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST # PREV. PAID FOR | NUMBER EXTRA CLAIMS PRESENT | RATE | ADDITIONAL FEE |
| TOTAL CLAIMS | 34 - | 47 = | 0 x | \$9.00 | \$0.00 |
| INDEP. CLAIMS | 28 - | 10 = | 18 x | \$42.00 | \$756.00 |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> | | | | | \$0.00 |
| TOTAL ADDITIONAL FEE FOR THIS AMENDMENT | | | | | \$756.00 |
| <input type="checkbox"/> No additional fee is required for amendment. <input type="checkbox"/> Please charge Deposit Account No. _____ in the amount of _____ A duplicate copy of this sheet is enclosed. <input checked="" type="checkbox"/> A check in the amount of \$756.00 to cover the filing fee is enclosed. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 11-0231. A duplicate copy of this sheet is enclosed. <input checked="" type="checkbox"/> Any additional filing fees required under 37 C.F.R. 1.16. <input checked="" type="checkbox"/> Any patent application processing fees under 37 CFR 1.17. | | | | | |
|  Signature | | | Dated: February 13, 2002 | | |
| Daniel F. Coughlin, Reg. No. 36,111 Attorneys for Applicants CUMMINGS & LOCKWOOD Four Stamford Plaza P. O. Box 120 Stamford, CT 06904 Phone: (203) 351-4622 | | | I certify that this document and fee is being deposited on Feb. 13/2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.  Signature of Person Mailing Correspondence Beth L. Parmelee Typed or Printed Name of Person Mailing Correspondence | | |
| cc: | | | | | |